

BUDGET INFORMATION - Non-Construction Programs

| | | | |
|---|--|--|----------------------------------|
| 1. Program/Project Identification No. EE0010004 | | 2. Program/Project Title Weatherization Assistance Program: Bipartisan Infrastructure Law | |
| 3. Name and Address New York State 38-40 State Street Albany, NY 122070000 | | 4. Program/Project Start Date 07/01/2022 | 5. Completion Date 06/30/2027 |

SECTION A - BUDGET SUMMARY

| Grant Program Function or Activity (a) | Federal Catalog No. (b) | Estimated Unobligated Funds | | New or Revised Budget | | |
|--|-------------------------|-----------------------------|-----------------|-----------------------|-----------------|-------------------|
| | | Federal (c) | Non-Federal (d) | Federal (e) | Non-Federal (f) | Total (g) |
| 1. Federal | 81.042 | \$ 0.00 | | \$ 289,714,086.00 | | \$ 289,714,086.00 |
| 2. | | | | | | |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. TOTAL | | \$ 0.00 | \$ 0.00 | \$ 289,714,086.00 | \$ 0.00 | \$ 289,714,086.00 |

SECTION B - BUDGET CATEGORIES

| 6. Object Class Categories | Grant Program, Function or Activity | | | | Total (5) |
|----------------------------|-------------------------------------|--------------------------------|------------------|---------------------|-------------------|
| | (1) GRANTEE ADMINISTRATI ON | (2) SUBGRANTEE ADMINISTRATI ON | (3) GRANTEE T&TA | (4) SUBGRANTEE T&TA | |
| a. Personnel | \$ 8,854,907.00 | \$ 0.00 | \$ 3,187,213.00 | \$ 0.00 | \$ 12,042,120.00 |
| b. Fringe Benefits | \$ 5,641,391.00 | \$ 0.00 | \$ 2,031,848.00 | \$ 0.00 | \$ 7,673,239.00 |
| c. Travel | \$ 3,500,000.00 | \$ 0.00 | \$ 808,491.00 | \$ 0.00 | \$ 4,308,491.00 |
| d. Equipment | \$ 460,000.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 460,000.00 |
| e. Supplies | \$ 395,400.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 395,400.00 |
| f. Contract | \$ 1,000,000.00 | \$ 21,728,556.00 | \$ 40,000,000.00 | \$ 4,191,510.00 | \$ 262,647,225.00 |
| g. Construction | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| h. Other Direct Costs | \$ 1,013,505.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 1,013,505.00 |
| i. Total Direct Charges | \$ 20,865,203.00 | \$ 21,728,556.00 | \$ 46,027,552.00 | \$ 4,191,510.00 | \$ 288,539,980.00 |
| j. Indirect Costs | \$ 863,353.00 | \$ 0.00 | \$ 310,753.00 | \$ 0.00 | \$ 1,174,106.00 |
| k. Totals | \$ 21,728,556.00 | \$ 21,728,556.00 | \$ 46,338,305.00 | \$ 4,191,510.00 | \$ 289,714,086.00 |
| 7. Program Income | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |

BUDGET INFORMATION - Non-Construction Programs

| | | | |
|---|--|--|----------------------------------|
| 1. Program/Project Identification No. EE0010004 | | 2. Program/Project Title Weatherization Assistance Program: Bipartisan Infrastructure Law | |
| 3. Name and Address New York State 38-40 State Street Albany, NY 122070000 | | 4. Program/Project Start Date 07/01/2022 | 5. Completion Date 06/30/2027 |

| SECTION A - BUDGET SUMMARY | | | | | | |
|---|-------------------------------|-----------------------------|--------------------|-----------------------|--------------------|-------------------|
| Grant Program Function or Activity (a) | Federal Catalog No. (b) | Estimated Unobligated Funds | | New or Revised Budget | | |
| | | Federal (c) | Non-Federal (d) | Federal (e) | Non-Federal (f) | Total (g) |
| 1. | | | | | | |
| 2. | | | | | | |
| 3. | | | | | | |
| 4. | | | | | | |
| 5. TOTAL | | \$ 0.00 | \$ 0.00 | \$ 289,714,086.00 | \$ 0.00 | \$ 289,714,086.00 |

| SECTION B - BUDGET CATEGORIES | | | | | |
|-------------------------------|-------------------------------------|--------------------------|-------------------------|----------------------------|-------------------|
| 6. Object Class Categories | Grant Program, Function or Activity | | | | Total (5) |
| | (1) PROGRAM OPERATIONS | (2) HEALTH AND SAFETY | (3) FINANCIAL AUDITS | (4) LIABILITY INSURANCE | |
| a. Personnel | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 12,042,120.00 |
| b. Fringe Benefits | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 7,673,239.00 |
| c. Travel | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 4,308,491.00 |
| d. Equipment | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 460,000.00 |
| e. Supplies | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 395,400.00 |
| f. Contract | \$ 169,240,313.00 | \$ 22,164,725.00 | \$ 2,903,579.00 | \$ 1,418,542.00 | \$ 262,647,225.00 |
| g. Construction | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |
| h. Other Direct Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 1,013,505.00 |
| i. Total Direct Charges | \$ 169,240,313.00 | \$ 22,164,725.00 | \$ 2,903,579.00 | \$ 1,418,542.00 | \$ 288,539,980.00 |
| j. Indirect Costs | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 1,174,106.00 |
| k. Totals | \$ 169,240,313.00 | \$ 22,164,725.00 | \$ 2,903,579.00 | \$ 1,418,542.00 | \$ 289,714,086.00 |
| 7. Program Income | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 | \$ 0.00 |

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WEATHERIZATION ASSISTANCE PROGRAM (WAP)
WEATHERIZATION ANNUAL FILE WORKSHEET**

(Grant Number: EE0010004, State: NY, Program Year: 2022)

IV.1 Subgrantees

| Subgrantee (City) | Planned Funds/Units |
|---|----------------------------|
| Action for A Better Community Inc. (Rochester) | \$4,603,238.00 574 |
| Adirondack Community Action Programs, Inc. (Elizabethtown) | \$1,096,672.00 362 |
| Albany Community Action Partnership, Inc. (Albany) | \$3,800,482.00 362 |
| Association for Energy Affordability (Bronx) | \$12,737,758.00 1,592 |
| Bedford-Stuyvesant Restoration Corp. (Brooklyn) | \$5,176,070.00 645 |
| Cattaraugus Community Action, Inc. (Salamanca) | \$3,521,672.00 362 |
| CEO for the Greater Capital Area, Inc. (Troy) | \$2,202,885.00 362 |
| Chautauqua Opportunities, Inc. (Dunkirk) | \$2,438,117.00 362 |
| Columbia Opportunities, Inc. (Hudson) | \$1,108,136.00 362 |
| Community Action of Greene County, Inc. (Catskill) | \$1,125,333.00 362 |
| Community Action Planning Council of Jefferson County, Inc. (Watertown) | \$2,126,073.00 362 |
| Community Development Corporation of Long Island, Inc. (Centereach) | \$12,135,173.00 1,515 |
| Cortland County Community Action Program Inc. (Cortland) | \$2,176,344.00 362 |
| Crown Heights Jewish Community Council (Brooklyn) | \$3,653,412.00 362 |
| Delaware Opportunities, Inc. (Hamden) | \$2,249,889.00 362 |
| Dutchess County Community Action Agency, Inc. (Poughkeepsie) | \$2,466,778.00 362 |
| EOP Inc. of Chemung & Schuyler Counties (Elmira) | \$1,499,939.00 362 |
| Fulmont Community Action Agency, Inc. (Fonda) | \$2,027,306.00 362 |
| HANAC (Astoria) | \$7,142,700.00 527 |
| Harlem Community Development Corporation (New York) | \$3,859,571.00 363 |
| Housing Conservation Coordinators (New York) | \$2,664,089.00 362 |
| JCEO of Clinton & Franklin Counties, Inc. (Plattsburgh) | \$2,159,148.00 362 |
| Lewis County Opportunities, Inc. (Lowville) | \$967,123.00 362 |
| Lt. Col. Matt Urban Human Services Center of WNY/PCCB (Buffalo) | \$1,870,510.00 362 |

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| | |
|---|-----------------------|
| Margert Community Corporation (Far Rockaway) | \$4,453,761.00 362 |
| Mohawk Valley Community Action Agency, Inc. (Utica) | \$4,667,982.00 362 |
| Neighborhood Housing Services of South Buffalo, Inc. (Buffalo) | \$4,796,741.00 362 |
| Niagara Community Action Program, Inc. (Niagara Falls) | \$3,041,914.00 362 |
| Northern Manhattan Improvement Corp. (New York) | \$8,401,208.00 362 |
| Northfield Community Local Development Corporation of Staten Island (Staten Island) | \$2,955,930.00 362 |
| Northwest Bronx Community and Clergy Coalition (Bronx) | \$8,712,982.00 362 |
| Opportunities for Otsego, Inc. (Oneonta) | \$2,924,766.00 362 |
| Opportunity Development Association (Brooklyn) | \$7,613,287.00 362 |
| Orleans Community Action Committee, Inc. (Albion) | \$1,512,833.00 362 |
| Pathstone Corporation (Rochester) | \$5,147,319.00 362 |
| People's Equal Action and Community Effort, Inc. (Syracuse) | \$7,765,288.00 362 |
| Pro Action of Steuben and Yates, Inc. (Bath) | \$1,893,553.00 362 |
| Regional Economic Community Action Program, Inc. (Middletown) | \$4,696,624.00 362 |
| Saratoga County Economic Opportunity Council, Inc. (Ballston Spa) | \$3,831,054.00 362 |
| Schoharie County Community Action Program (Cobleskill) | \$991,280.00 362 |
| Seneca County Office of the Aging (Waterloo) | \$1,040,496.00 362 |
| St. Lawrence County Community Development Prog. (Canton) | \$1,759,961.00 362 |
| Stoneleigh Housing Inc. (Canastota) | \$1,254,882.00 362 |
| Sunset Park Redevelopment Corporation (Brooklyn) | \$7,688,093.00 361 |
| Supportive Services Corporation (Lancaster) | \$7,934,700.00 360 |
| TBD - EE0010004 - New York State - WAPBIL Award (Albany) | \$24,999,980.00 0 |
| Tioga Opportunities Program, Inc. (Owego) | \$3,802,393.00 360 |
| Ulster County Community Action Committee, Inc. (Kingston) | \$2,266,150.00 360 |
| Warren-Hamilton Counties Action Committee for Economic Opp (Glens Falls) | \$1,799,927.00 360 |
| Wayne County Action Program, Inc. (Lyons) | \$3,535,048.00 360 |

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| | |
|--|--|
| Westchester Community Opportunity Program, Inc. (Elmsford) | \$7,350,655.00 360 |
| Total: | \$221,647,225.00 21,131 |

IV.2 WAP Production Schedule

| | | |
|---|---|------------------|
| Weatherization Plans | | Units |
| Total Units (excluding reweatherized) | | 21,131 |
| Reweatherized Units | | 0 |
| Average Unit Costs, Units subject to DOE Project Rules | | |
| VEHICLE & EQUIPMENT AVERAGE COST PER DWELLING UNIT (DOE RULES) | | |
| A | Total Vehicles & Equipment (\$5,000 or more) Budget | \$0.00 |
| B | Total Units Weatherized | 21,131 |
| C | Total Units Reweatherized | 0 |
| D | Total Dwelling Units to be Weatherized and Reweatherized (B + C) | 21,131 |
| E | Average Vehicles & Equipment Acquisition Cost per Unit (A divided by D) | \$0.00 |
| AVERAGE COST PER DWELLING UNIT (DOE RULES) | | |
| F | Total Funds for Program Operations | \$169,240,313.00 |
| G | Total Dwelling Units to be Weatherized and Reweatherized (from line D) | 21,131 |
| H | Average Program Operations Costs per Unit (F divided by G) | \$8,009.10 |
| I | Average Vehicles & Equipment Acquisition Cost per Unit (from line E) | \$0.00 |
| J | Total Average Cost per Dwelling (H plus I) | \$8,009.10 |

IV.3 Energy Savings

| | | | | |
|---|---------------------|-------|----------------------------|----------------|
| Method used to calculate savings: <input checked="" type="checkbox"/> WAP algorithm <input type="checkbox"/> Other (describe below) | | | | |
| | | Units | Savings Calculator (MBtus) | Energy Savings |
| | This Year Estimate | 21131 | 29.3 | 619138 |
| | Prior Year Estimate | 7945 | 29.3 | 232788 |
| | Prior Year Actual | 3988 | 29.3 | 116848 |
| Method used to calculate savings description: | | | | |
| The DOE algorithm was used to estimate energy savings. | | | | |

IV.4 DOE-Funded Leveraging Activities

| |
|--|
| Coordination with Other Programs |
| Subgrantees provide a variety of services for low-income clients as a part of their overall mission, and they are adept at leveraging other resources to coordinate with weatherization services. Most put together a package of services to assist low-income clients with other housing and social service needs as part of providing Program services. HCR actively supports leveraging and coordination with other programs to supplement funding for the Program. |

IV.5 Policy Advisory Council Members

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Check if an existing state council or commission serves in this category and add name below

| | |
|--|---|
| Andrew Stone | Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 5186900494 Email: astone@nswda.org |
| Association for Energy Affordability | Type of organization: Non-profit (not a financial institution) Contact Name: David Hepinstall Exec Dir Phone: 7182926733 Email: hepinstall@aea.us.org |
| Crown Heights Jewish Community Council, Inc. | Type of organization: Contact Name: Avi Kamman Phone: 71877190007717 Email: avik@chjcc.org |
| David Hepinstall | Type of organization: Local agency Contact Name: Phone: 2122793902 Email: hepinstall@aeanyc.org |
| Elizabeth Spira | Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 8454525104 Email: espira@dutchesscap.org |
| Margert Community Corporation | Type of organization: Local agency Contact Name: Joseph Barden Phone: 7184713724 Email: jgb@margert.org |
| New York State Community Action Association | Type of organization: Contact Name: Jacqueline Orr Phone: 518690049124 Email: jorr@nyscommunityaction.org |
| New York State Energy Research & Development Authority | Type of organization: Unit of State Government Contact Name: Christopher Coll Phone: 51886210903425 Email: Christopher.Coll@nyserda.gov |
| NYS Office of Temporary & Disability Assistance | Type of organization: Unit of State Government Contact Name: Andrew Bryk Phone: 5184863591 Email: andrew.bryk@otda.state.ny.us |
| People's Equal Action and Community Effort, Inc. | Type of organization: Non-profit (not a financial institution) Contact Name: Sally Ward Phone: 3154703315 Email: sward@peace-caa.org |
| Regional Economic Community Action Program, Inc. | Type of organization: Non-profit (not a financial institution) Contact Name: Charles Quinn Exec Dir Phone: 8453423978 Email: cquinn@recap.org |
| The Community Preservation Corporation | Type of organization: Contact Name: Andrew Padian Vice President for Energy Initiatives Phone: (212)869-5300 Email: apadian@communityyp.com |
| Tina Zerbian | Type of organization: Non-profit (not a financial institution) Contact Name: Phone: 7169451041111 Email: tzerbian@ccaction.org |
| Wendell Rice | Type of organization: Local agency Contact Name: Phone: 7186366919 Email: wrice@restorationplaza.org |

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IV.6 State Plan Hearings (Note: attach notes and transcripts to the SF-424)

| Date Held | Newspapers that publicized the hearings and the dates the notice ran |
|------------|---|
| 09/12/2022 | Notice of hearing published on HCR web site, through an email blast and in the Albany Times Union on Monday, August 29th. |

IV.7 Miscellaneous

| |
|--|
| <p>Recipient Business Officer: Rebecca Koepnick, rebecca.koepnick@hcr.ny.gov, 212-872-0679</p> <p>Recipient Principle Investigator: Samantha Pearce, samantha.pearce@hcr.ny.gov, 212-872-0496</p> <p>Program will implement and monitor Davis Bacon using Elations or similar software. Software identification and procurement are underway. Davis Bacon will be implemented and monitored on all multifamily properties that are 5 units and above.</p> <p>Program will enter into contract to provide software and consultant support for meeting the Buy American provisions and supporting subgrantees in their efforts to abide by Buy American provisions.</p> <p>Any supplies of steel, iron, or other materials referenced in 2 CFR 200. 322 will be procured domestically and in accordance with the CFR.</p> <p>Program is currently collecting data for fuel switching authority and the request is pending.</p> <p>Housekeeping Elements: award number for outstanding items: EE0007938</p> |
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This worksheet should be completed as specified in Section III of the Weatherization Assistance Program Application Package.

V.1 Eligibility

V.1.1 Approach to Determining Client Eligibility

Provide a description of the definition of income used to determine eligibility

Income definition:

HCR has developed a rigorous process to ensure that assisted units meet the eligibility requirements of 10 CFR 440.22(a), with respect to income eligibility. These procedures are described in detail in Sections 3.05.01-06 of the NYS Weatherization Assistance Program Policy and Procedures Manual (PPM). Briefly, subgrantees are required to collect third-party documentation from each assisted household to confirm income and must keep documentation on file to support eligibility determinations. Some households are deemed categorically eligible based on documentation that they receive TANF, HEAP, or certain other forms of government assistance. Income eligibility is verified using one of three methods, depending upon the type of building or whether the household is claiming categorical eligibility: 1) households that reside in buildings that have received assistance from certain HUD programs are considered eligible for Program assistance without additional documentation (pursuant to DOE Notice WPN 22-5); 2) households residing in any other building that claim categorical eligibility by participation in another assistance program that has eligibility requirements that are as restrictive as those of the Program must provide documentation from the administrator of the other program establishing participation; or, 3) all other households must provide third-party documentation of income (i.e., pay stubs, statements from income providers) to support income claimed.

Describe what household eligibility basis will be used in the Program

Eligibility basis:

HCR has adopted the income eligibility guidelines used in the State's HEAP Program as the standard for the Program for households with six or fewer persons. This limit – 60% of State median income – is higher in New York than the 200% of poverty option for households with fewer than seven persons, provides opportunity for participation by more households in the State and facilitates coordination with HEAP. For families of 7 or more persons, the 200% of poverty level is higher than 60% of State median income, and HCR sets the eligibility threshold for those households at the higher (200% of poverty) level. This threshold has been selected in accordance with Federal HEAP rules (Public Law 9735, Sec. 2605(b)(2)(B) and with 10 CFR 440.22(3)). Under these criteria, more than 3.5 million persons in New York State who reside in 2.1 million households are eligible for program services.

Describe the process for ensuring qualified aliens are eligible for weatherization benefits

Qualified aliens:

HCR's weatherization application form requires applicants to affirm that all members of the household are citizens or qualified aliens entitled to receive federal government assistance.

V.1.2 Approach to Determining Building Eligibility

Procedures to determine that units weatherized have eligibility documentation

Eligibility documentation:

HCR requires that both household income eligibility and building eligibility are established before any work is done on a building. Building eligibility is confirmed prior to the start of an energy audit. Building owners must provide documentation to confirm ownership of the building to be assisted (such as tax payment receipts, copies of deed, or certain other forms). Procedures for confirming eligibility in buildings with rental units and in certain other types of buildings are described below. More detail on building eligibility can be found in Section 3 of the PPM.

Describe Reweathering compliance

Re-weatherization:

WAP Memorandum 075, issued January 8, 2021, provided the authority for reweatherization of homes once 15 years have passed since the completion of

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prior federally financed weatherization. Homes designated for reweatherization must still meet eligibility requirements and be subject to energy auditing to determine the appropriateness of weatherization work. Subgrantees and HCR will track homes previously weatherized. In cases where a previously assisted unit weatherized less than 15 years ago has been damaged by fire, flood or other natural disaster, assistance can be provided with prior approval from HCR. Generally, assistance will only be provided to pay for damage not covered by insurance. HCR rules for re-weatherization can be found in Section 6.05 of the PPM.

Describe what structures are eligible for weatherization

Eligible structures:

Program assistance is provided to all types of residential structures, including eligible single- and multi-family buildings, manufactured housing (mobile homes), group homes, homeless shelters, temporary housing facilities designed to transition persons with special needs into permanent housing, and mixed-use buildings that contain eligible residential units. Building eligibility requirements are detailed in sections three and four of the PPM. Only those structures that can be legally occupied as housing under New York State law, meet all other eligibility requirements and are in such condition that weatherization measures can be installed in a safe and effective manner are eligible for assistance.

HCR permits subgrantees to assist shelters and group homes; in those buildings, the cost per unit is calculated on a square-footage or per-story basis. In the case of eligible dwelling units which meet the definition of "shelter," dwelling units will be calculated based upon either (a) each 800 square feet of floor space; or, (b) each story of the building which is used as a living area.

Describe how Rental Units/Multifamily Buildings will be addressed

Rental units and multifamily buildings:

Most low-income people in New York State live in rental housing. While much of the rental housing stock is sound, and HCR has made considerable investment in decent, affordable housing, a large percentage of the units occupied by eligible households have significant need for energy efficiency investment. Rental housing provides significant opportunity to save energy, but assisting rental housing presents unique challenges.

HCR has extensive experience in providing weatherization assistance to rental buildings, including older masonry-construction, centrally heated multifamily buildings of the type common in much of New York City. Procedures that New York State developed for the Weatherization Program have helped form current DOE policy on assisting multifamily and other rental properties.

HCR requires subgrantees to obtain applications from each tenant in a rental project that has applied for Program assistance before investing any funds in the project (except for certain federally assisted projects that are determined eligible following the procedures outlined in DOE Notice WPN 22-5). Subgrantees may only invest Program funds in rental buildings containing five or more units after they have established that 66% or more of the dwelling units in the building are occupied by eligible households. In rental projects where the energy audit indicates that significant energy savings can be expected to result from Program assistance, and in buildings containing two, three or four units, at least 50% of the dwelling units must be occupied by eligible households.

For buildings that are determined eligible pursuant to WPN 22-5, housing owned and operated by HUD Public Housing Agencies are to be considered 100% categorically income eligible. For any multifamily building, the subgrantee may only count vacant units towards the 50% or 66% threshold when the building has been assisted by a Federal, State or local government program for rehabilitating the building or making similar improvements to the building and the units will become eligible dwelling units within 180 days following completion of the project.

HCR procedures also require that:

- Written permission of the building owner is received before any work commences;
- Benefits of Program assistance primarily accrue to the low-income tenants residing in the rental units;
- Qualified households in assisted buildings are not subjected to rent increases (unless those increases are demonstrable related to matters other than the weatherization work that was installed);
- Tenants and owners are notified in writing of their rights and the procedures tenants may follow to complain or appeal should improper rent increases occur;
- No undue or excessive enhancement of the value of the assisted building results from installation of weatherization materials with Program funds;
- Owners of assisted rental buildings agree in writing to restrictions on their use of the building after Program funds are invested; and,
- Owners of assisted rental buildings participate in the financing of weatherization activities, with certain exceptions, as described below.

In accordance with Federal rules and guidance intended to limit undue or excessive enhancement of the value of multifamily rental units resulting from investment of Program funds, HCR requires most owners of multifamily rental property to contribute to the cost of the weatherization work scope as a condition of receiving assistance. Generally, multifamily building owners must provide 25% of the total cost of the work to be done to meet Program standards, as follows:

- For multifamily buildings that do not meet the requirements for reductions in assessed valuation pursuant to Section 581-a of the New York State Real Property Law (typically, projects that are regulated as affordable housing) and which have fewer than five units, the owner must make an investment of no less than 25% of the estimated cost of completing the work scope, unless the building is occupied by the owner as his or her primary residence and the owner qualifies for WAP assistance as a low-income household.
 - For multifamily buildings that do not meet the requirements for reductions in assessed valuation pursuant to Section 581-a of the New York State Real Property Law and which have five or more units, the owner must make an investment of no less than 25% of the estimated cost of completing the work scope.
- In cases where providing this level of investment will provide a hardship, or where a rental property is known to be in financial distress, HCR may permit the

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subgrantee to reduce or waive the owner investment requirement, with prior approval by the HCR regional supervisor.

- For multifamily buildings that meet the requirements for reductions in assessed valuation pursuant to Section 581-a of the New York State Real Property Law, a reduced owner investment of 15% of the estimated cost of completing the work scope will be allowed to help maintain the supply of affordable housing in the State. HCR provides training, technical assistance and other support to maximize inclusion of assisted rental housing in the Program. Owners of rental property who are eligible for the Program and occupy one of the units in the building to be assisted are not required to provide a financial or in-kind contribution towards the work scope.

HCR requires that subgrantees enter into a written agreement with owners of rental buildings that will receive Program assistance, using a form provided by HCR, before any funds are invested in a project. The agreement names tenants as third-party beneficiaries of the agreement, to establish certain rights. Tenants are provided with a synopsis (Form HCR-9) that explains these rights and the enforcement procedures. Naming the tenant as a third-party beneficiary provides the tenant with recourse in the legal system if a building owner violates the terms of the agreement. In practice, a letter reminding the owner of the terms of the agreement with the subgrantee is generally sufficient to resolve an adverse situation in favor of the tenant. This process reduces the need for monitoring by the State without placing undue burden on subgrantees or owners.

Subgrantees are monitored to ensure that low-income renters – particularly those living in smaller, privately-owned buildings – are provided with the same opportunity to access Program services as all other households. Additional information on subgrantee monitoring is provided in Section 5.8.3, below. More detail on rental housing procedures is included in Sections 3 and 4 of the PPM.

Describe the deferral Process

Deferral process:
HCR prohibits subgrantees from investing funds in any building where legal, financial, structural or safety impediments exist that would compromise eligibility or place occupants or workers in an unsafe or unhealthful situation. Section 6.01 of the PPM (“When Not to Weatherize”) lists common situations that may warrant deferral and provides subgrantees with guidance on how to handle those situations. Issues related to health concerns caused by the pandemic are also considerations for deferral. When a subgrantee determines that assistance must be deferred for health or safety reasons, they must issue the HCR Health and Safety Notice (Form HCR-15) and obtain signatures of the owner and occupant on the form, if possible. The subgrantee is also expected to inform occupants and owners of any resources that may be available to resolve the problem.

In cases where assistance to a unit is deferred for other reasons (such as a pending sale) subgrantees are required to notify the owner and any affected tenants in writing and inform them that the application will be kept active for a specified period or until the issue is resolved, whichever comes first.

V.1.3 Definition of Children

Definition of children (below age): **18**

V.1.4 Approach to Tribal Organizations

Recommend tribal organization(s) be treated as local applicant?

If YES, Recommendation. If NO, Statement that assistance to low-income tribe members and other low-income persons is equal.

Tribal Organizations:
Assistance is made available to all low-income residents of the State without regard to tribal organization status, to the extent that funding is available. Additional funds are allocated to counties with large Native American reservations.

V.2 Selection of Areas to Be Served

Areas to be Served:
All areas of the State will be served. HCR allocates WAP funding for each county in the State using a formula that considers climate and share of low-income households. Funding is also reserved to provide a minimum allocation to ensure service to each county where the formula does not otherwise generate sufficient funding to feasibly operate a program.

HCR designates a subgrantee to provide weatherization services in each county in the State. In urban areas, subgrantee service areas are typically a portion of a county, while in rural areas subgrantee service areas often cover one or more entire counties. Each community in the State is served by one, and only one subgrantee.

Housing in New York is generally older than elsewhere in the nation. According to the US Census, more than 5.6 million housing units in New York were built before 1970. That’s nearly 70% of the State’s total housing stock. Nationally, just 41% of the housing stock was built before 1970. This means that most

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housing in the state was built at a time when energy costs were low and modern energy-efficiency construction methods were not used. New York’s households are also more likely to live in rental housing than in any other state. Census data shows that 45.5% of the occupied housing units in the State are rental. Most households in New York that are eligible for weatherization assistance live in rental housing. While 20% of the State’s owner households have annual incomes less than \$35,000, more than 50% of the State’s renter households have annual incomes less than \$35,000. Households with incomes below the poverty level are especially likely to live in rental housing and to live in older units. While just five percent of owner households have incomes below the federally established poverty level, fully 24% of renter households have incomes at this level, and 77% of those households live in housing built before 1970.

Census data also show that utility-supplied gas is the most commonly used fuel. About 57% of owner households and 54% of renter households heat with utility gas. About 28% of households in the state heat their homes with oil, but households in rental units are far more likely to heat with expensive electricity than owner households. More than 70% of all units that heat with electric are rental units; these units are home to more than 510,000 households. Our experience suggests that electrically heated rental units are often located in multifamily housing built in the 1960s and 1970s. Given the high costs of electricity in New York, and the likelihood that many of those units were built using inferior energy conservation techniques, this is a significant concern. However, recent improvements in electric heating technology coupled with utility and government incentives are making electric heating more feasible within WAP.

There are regional differences in utility usage. Generally, Western and Central New York are more reliant on utility gas, and the Eastern parts of the State are more likely to use oil. For example, in the Buffalo Metropolitan Statistical Area (MSA), 89% of all housing units heat with utility-supplied gas, but in the Albany MSA just 60% heat with gas. In New York City, which has a predominance of large multi-family buildings, about 39% of all units are heated with oil. These regional differences are not consistent by tenure. While owners in Albany and Buffalo are about as likely to heat with gas as renters, in New York and Syracuse renters are much less likely to use gas, which means higher heating costs. In New York, more heat with oil, but in Syracuse more than 29% of all rental units are heated with electricity. In non-metropolitan areas, where more than 70% of all housing units are owner-occupied, oil and gas both account for about one-third of the fuel used in all units, and electrically heated units are more common, especially among renter households.

These data, when considered together with New York State’s harsh climate and high energy costs, show that the needs for energy efficiency are different for rental and owner housing, and vary according to location. Because of this diversity, New York has developed procedures to target assistance to those most in need, using methodologies that are best suited to conditions within the State.

ARPA is being operated as a pilot specifically to address CLCPA goals including electrification, electrification-readiness, renewables, and heat-pump technologies. By choosing the appropriate projects and following a priority list in determining work scopes, these goals can be pursued without the restrictions of DOE rules that discourage fuel-switching (to electric from fossil fuels) and limit average cost per unit. ARPA HEAP funds will not be used in homes that are receiving WAP HEAP funds, nor in any unit that receives DOE funds so as not to trigger DOE rules.

V.3 Priorities

Priorities for Assistance:

Priority for weatherization assistance is given to households with children, elderly persons and persons with disabilities. Priority is also given to applicants for assistance that pay more than 6% of their income for utilities and to households that receive assistance through the State’s Home Energy Assistance Program (HEAP). For the purposes of the Program, these applicants are considered High Energy Burden households.

HCR has established a referral process to facilitate assistance to households that are clients of local offices for the aging and county HEAP providers (typically departments of social services). HCR will continue to encourage subgrantees to prioritize assistance to properties where other State or Federal housing resources can be leveraged, where occupants of those properties also meet one or more of the other priorities listed above.

V.4 Climatic Conditions

Climactic Conditions:

The climate of New York varies from temperate coastal to cold mountainous conditions. Climate is a key element in the formula used for allocation of program funds. Climate severity is measured in degree days, which are an indicator of how much fuel will be necessary on any given day to maintain comfortable conditions in a home. Data on degree days is compiled on an annual basis by the National Climate Data Center. The allocation formula (see Section 2.1) uses 30-year averages for annual degree days to indicate the relative severity of climate in New York locations and its impact on low-income housing affordability.

Average Heating and Cooling Degree Days 1971-2000

| Location | Heating Degree Days | Cooling Degree Days |
|---------------|---------------------|---------------------|
| Albany | 6860 | 206 |
| Buffalo | 6692 | 202 |
| New York City | 4754 | 604 |
| Plattsburg | 7817 | 132 |
| Syracuse | 6803 | 195 |

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Long Island 5357 371
Source: National Oceanic and Atmospheric Administration

Each DOE-approved energy audit that HCR uses considers climactic variances within the State to determine cost-effectiveness of measures proposed for individual buildings. Subgrantees analyze buildings using approved energy auditing software that includes region-specific data on climate. These data files are then considered in calculation of the savings-to-investment ratio for each measure.

V.5 Type of Weatherization Work to Be Done

V.5.1 Technical Guides and Materials

Policy and Procedures Manual:

The PPM sets forth specific guidelines that subgrantees must follow in administering the program. The PPM is an attachment to the written agreement between HCR and the subgrantee and subgrantees are bound by signing the agreement to comply with the PPM. Subgrantees that don't comply can be found to be in default of the agreement, and risk losing funding. The PPM covers administrative procedures; building and household eligibility; building analysis (energy audit) procedures, including health and safety protocols; deferral guidelines; reporting and payment procedures; and, procurement and fiscal requirements. Section 5 of the PPM also provides specific technical guidance to subgrantees on work standards and related protocols, including guidance on multifamily work scope development, building assessment and health and safety issues. The PPM is available on the HCR web site through the following link: <https://hcr.ny.gov/weatherization-providers#provider-information>. The PPM is being revised and updated for the 2022 Program Year.

Weatherization Field Guide:

HCR has also issued the New York State Weatherization Field Guide for use by subgrantee crews and auditors. This field guide, which incorporates information from several different standards including the Standard Work Specifications for Home Energy Upgrades (SWS), provides on-site guidance to subgrantees in the installation of measures and other technical aspects of the program.

The Weatherization Field Guides were approved by DOE 9/3/2021. Subgrantee agreements and vendor contracts contain language which requires them to comply with the SWS specifications for work quality outlined in WPN 22-4, Section 1. The Field Guide is published through an agreement with Saturn Resource Management. A copyright protected version of the New York State Weatherization Field Guide is available to all NYS WAP subgrantees through the HCR Weatherization website: <https://hcr.ny.gov/weatherization>.

All subgrantees have been provided access to the Field Guide and are familiar with the specifications, objectives and desired outcomes outlined in the SWS for single family, multifamily and manufactured housing.

HCR will continue to provide subgrantees comprehensive field standards and training (see Section V.8.4, below) outlining requirements for work scope development and work quality that will meet or exceed the minimum standards found in the SWS. Subgrantees will also be provided with any revised technical requirements for building assessment (energy audits), installation of energy efficiency and health and safety measures and procedures for conducting final inspections in support of the quality work plan. These requirements will be referenced as a part of the agreement with each subgrantee to provide a mechanism for compliance.

Subcontractor Agreements:

Subgrantee agreements and vendor contracts contain language which requires them to comply with the SWS specifications for work quality outlined in WPN 22-4, Section 1. Section 4 of the PPM requires Subgrantees that use subcontractors to complete work on assisted buildings to follow the procurement procedures contained in Section 8 of this manual and to execute an agreement with each subcontractor for the specific work to be completed. Subgrantees that subcontract for work performed with WAP funds must use the Subcontractor Agreement (Form #33). This form binds the parties to follow HCR rules in completing WAP-funded work and provides for certain rights and remedies in the event of default or non-performance by a subcontractor. Subgrantees are responsible for ensuring that the provisions of the Subcontractor Agreement are enforced. Subgrantees may not enter into side agreements with subcontractors for work on a project where WAP funds are invested. Contractors acknowledge the expectations for work quality by signing Form #33.

Field guide types approval dates

Single-Family: 9/3/2021
Manufactured Housing: 9/3/2021
Multi-Family: 9/3/2021

V.5.2 Energy Audit Procedures

Audit Procedures and Dates Most Recently Approved by DOE

Audit Procedure: Single-Family
Audit Name: TIPS (New York)
Approval Date:

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Audit Procedure: Manufactured Housing
Audit Name: TIPS (New York)
Approval Date:

Audit Procedure: Multi-Family
Audit Name: EA-QUIP
Approval Date:

Comments

Energy Audit Procedures:

All three audit platforms are currently under review by DOE for reapproval for continued use in the NYS WAP.

NY is proactively working with DOE to update and revise its tools to be consistent with DOE guidance in a timely manner.

Weatherization subgrantees in New York currently use the Targeted Investment Protocol System (TIPS) energy audit to analyze building energy usage and set priorities for weatherization work in all one- to four-unit buildings, including manufactured or mobile homes, as well as for auditing individually heated units in multi-family buildings not exceeding 25 units in size. TIPS submitted to ORNL for review on 7/11/22, DOE response provided 11/28 & 12/14 call to discuss details necessary for follow-up. NY provided responses, which are currently under DOE review.

New York also uses the Targeted Residential Energy Analysis Tools (TREAT) Energy Audit for multi-family buildings. The TREAT software can be used in coordination with NYSERDA energy efficiency projects. Subgrantees doing weatherization work in multi-family buildings participating in NYSERDA programs, or that have had TREAT audits conducted for other programs, can rely on TREAT for Weatherization to avoid the need for duplicate audits. The Energy Audit Using the Queens Information Package (EA-QUIP) may be used for analysis of multi-family buildings.

The EA-QUIP and TREAT audit platforms have both been found to be compliant by DOE in 2022 for continued use in the NYS WAP but NY is still working on supplying to DOE a finalized ASHRAE compliance procedure for all housing types for DOE review and approval. NY feels that an ASHRAE ventilation variance will be necessary and has been justified by the ORNL sponsored study [Pilot Study for Multifamily Building Ventilation and Indoor Air Quality](#) ORNL/TM-2022/2672. That request is currently being worked on and will be submitted in the near future. In the interim, NY has modified its plan as requested.

HCR subgrantees are expected to maintain in-house capacity to conduct building analysis for one- to four-unit buildings and are encouraged to develop capacity to conduct multifamily audits on certain types of buildings with fewer than 75 units. HCR has implemented a quality control and review process for subgrantees that are designated to conduct their own multifamily audits.

HCR encourages the use of renewable energy systems in weatherization projects where permitted by DOE rules. Particularly in multifamily projects, there are significant opportunities for energy savings and cost reduction that result from installation of systems such as solar thermal technology. The TREAT and EA-QUIP energy audit platforms provide the ability to determine cost-effectiveness of renewable energy systems that may be considered in a weatherization project. HCR will comply with the provisions of DOE notices WPN 22-1 and WPN 23-6 and with sections 10 CFR 440.18 and 440.21c concerning use of renewables in weatherization projects.

V.5.3 Final Inspection

Final Inspections:

All weatherization projects completed by subgrantees in New York must pass a quality control (QC) inspection performed by the subgrantee's designated QC inspector before being reported to HCR as completed. Payment for a completed unit will only be made for units that meet all program requirements (see sections 2.17, 7.02 and 7.06 of the PPM). HCR field staff periodically visit subgrantees and inspect a sample of dwelling units to ensure that the units reported have been completed in accordance with all State and federal program requirements. HCR QC inspection of subgrantees will be at least 5% of completed units, and at least 10 % for subgrantees where the Energy Auditor and QC inspector are the same person. HCR uses its database to track the percentage of completed units at each subgrantee requiring QC inspection, distinguishing where the requirement is 5% and 10%. More detail on the monitoring process can be found in Section V8.3. Each completed unit is inspected per DOE Quality Work Plan requirements by the subgrantee before HCR reports the unit as complete to DOE. The following procedures will support HCR compliance with DOE Quality Work Plan requirements.

During BIL every DOE WAP unit reported as a completed unit will receive and pass a QC inspection, performed by a certified QC inspector, ensuring that all work meets the minimum specifications outlined in the SWS in accordance with 10 CFR 440 and NYS WAP requirements. Each client file will have a form(s), signed by the QC inspector, certifying that the unit passed a QC inspection, meeting the required standards for NYS WAP. HCR will confirm subgrantee compliance with the QC requirement during routine monitoring visits and final quality assurance inspections of a sample of completed projects.

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The final quality assurance project inspection includes the following:

- verification of program eligibility and required project file documentation
- review of the audit and work scope to determine that the work specified was eligible, effective, installed per SIR priority and that any changes to work orders were approved in advance and properly documented;
- photographs of initial conditions and completed work;
- verification of the quantity of materials installed;
- verification that installation standards and work quality is acceptable and meets the QC inspection standard;
- a blower door test to verify final air flow, in units where the test can be conducted;
- verification that required health and safety tests were conducted accurately and that appropriate mitigation measures were performed as necessary;
- review for client signatures accepting completion of work;
- review for program documentation notifying owners and occupants of any unsafe or potentially unsafe conditions and proof of occupants having received written material on lead and radon concerns; and,
- review of any additional documentation necessary to support the outcome of the weatherization project.

Each subgrantee has certified quality control inspectors on staff, but turnover has been high, with several instances of staff leaving a subgrantee after obtaining QC certification. In cases where a subgrantee temporarily does not have a certified QC inspector in place, the subgrantee must demonstrate to HCR that it has arranged to obtain the services of a certified inspector on a temporary basis, typically by contracting with a nearby subgrantee, and must provide HCR with a plan to fill the vacancy. In any case, HCR does not allow a subgrantee to report a unit as complete without a QC inspection and will ultimately disallow costs for any expenditures on units that do not meet the QC requirement. Failure by the subgrantees to correct deficiencies found in QC monitoring may warrant increased training and technical assistance, increased levels of monitoring, or in the most severe cases a formal warning notice that may lead to termination. HCR permits smaller subgrantees that do not have the resources to hire a separate QC inspector to assign this function to an auditor or other staff person that obtains the required certifications. HCR increases monitoring frequency where needed, but for all subgrantees HCR inspects a minimum of 5% of completed units. See section V.8.3 for more detail on monitoring policies, including actions taken when a QC fails to adequately inspect completed work.

V.6 Weatherization Analysis of Effectiveness

Analysis of Effectiveness:

HCR conducts an analysis of the effectiveness of each subgrantee's program each year, per 10 CFR 440.14(c)(6)(1) and maintains documentation on this analysis on file for review. This analysis is based on frequent on-site monitoring, regular desk audits and management reviews as well as other available information. Subgrantee productivity is measured by reviewing subgrantee production (as reported in the Weatherization Payment and Reporting Database) against contract production schedules each month when subgrantees request payment. HCR's Field Operations unit also conducts comparative analyses to ensure that all subgrantees are administering the Program in an optimal manner and to set priorities for training and technical assistance. Subgrantees with deficiencies are required to submit corrective action plans to resolve impediments to effectiveness.

Subgrantees are also monitored several times during the program year, and their progress in resolving deficiencies and in implementing new procedures and recent training is assessed as part of the monitoring process. The field monitoring instruments themselves allow the reviewer to identify reoccurring problems and problem areas measured in the aggregate. Progress in resolving management findings and unresolved issues from prior annual evaluations is also assessed.

In addition to regular monitoring, HCR conducts a comprehensive annual evaluation of each subgrantee. The evaluation covers both the Program and Fiscal components of the agencies' programs and includes the following: Program Administration Outreach and Intake, Energy Auditing and Work Scope Development, Crew Operations/Subcontractor Management, Post Inspection, Database and Reporting, Leveraging and Coordination, Production and Quality, Fiscal Record Keeping, Financial Stability, Program Compliance, and Procurement. The evaluation analyzes the program and fiscal monitoring reports documented during the year and various production metrics. The completed evaluation is shared with each subgrantee, and each area rated as "non-compliance" or "does not meet NYS WAP program standard" requires the subgrantee to submit a written corrective action plan, the implementation and progress of which is reviewed and monitored during the following year for effectiveness. Each evaluation area is also reviewed by the regional supervisors, program monitors and fiscal monitors for the identification of problem areas and potential solutions. The evaluations are reviewed by the program management staff to determine the strength of subgrantee performance and any service territories whose needs are not being adequately met.

V.7 Health and Safety

Health and Safety:

The primary goal of the Weatherization Assistance Program is energy conservation. However, installing energy conservation measures sometimes requires subgrantees to address health and safety problems that may exist in client's homes. If not done correctly, installing certain measures can also create or worsen other health and safety conditions.

Many of the buildings that are weatherized in New York have serious deficiencies that can affect the health and safety of both occupants of assisted units and staff performing weatherization work. Health and safety work is only done in units where energy efficiency measures are also being installed. Section 5 of the

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PPM includes guidance on health and safety protocols. NYS will follow DOE guidance from 22-7 to test and deal with radon appropriately. Specific information on HCR health and safety protocols is included in the HCR Weatherization Health and Safety Plan, which is attached as Appendix D that addresses the below sections under Health and Safety.

NYS is currently revising it's Health and Safety plan and includes the following amendments while it is under production for our updated State Plan:

1. Health and Safety budgets will not exceed 15% .
2. Minor Repair will be defined as not more than 5% of the budget cost
3. Limited Repair will be defined as not more than 7% of the budget cost
4. Major Repair will be defined as 8% or greater of the budget cost.

In accordance with WPN 19-5 NYS will utilize alternative funds for these measures when possible.

V.8 Program Management

V.8.1 Overview and Organization

Overview and Organization:

The Program is managed in New York by NYS Homes and Community Renewal (HCR). The Commissioner of Housing and Community Renewal also serves as Chief Executive Officer of HCR and is appointed by the Governor. Within HCR, the Program is in the Office of Housing Preservation (OHP). OHP is headed by a Senior Vice President who reports to the Commissioner. In addition to the Weatherization program, OHP administers the Federal Housing Choice Voucher program and provides supervision of the State's portfolios of public housing and privately-owned assisted housing. Other offices within HCR include Finance and Development, which primarily administers multifamily housing finance programs such as the Housing Trust Fund, Low-income Housing (tax) Credit and Mortgage Revenue Bond programs, and the Office of Community Renewal, which administers the Community Development Block Grant Program, NYS HOME Program, NY Main Street program and other locally-administered housing and community development programs.

The Director of Energy and Rehabilitation Programs, who reports to the Director of Sustainability, has day-to-day responsibility for the Weatherization Assistance Program. Three component units within the Energy and Rehabilitation Services Bureau provide Program staffing: Program Management, which includes central office operations such as contract and payment processing, reporting, budgeting and coordination with other State offices and other units within HCR; Fiscal Compliance, which includes staff that monitors the fiscal operations of subgrantees; and Field Operations, which includes both the field (program) monitoring staff and the Training and Technical Assistance unit.

HCR coordinates closely with other State agencies that administer energy assistance programs. These include the New York State Energy Research and Development Authority, which administers the State Energy Program and several energy efficiency programs, the Office for Temporary and Disability Assistance, which administers the Low-Income Home Energy Assistance Program, the Department of State, which administers the Community Services Block Grant program, the Public Service Commission, the Department of Labor, the State Office for the Aging and others.

A full description of roles and responsibilities of HCR staff involved in administration of the Program, including information on coordination with other State agencies, can be found in the Weatherization Assistance Program Policy and Procedures Manual.

V.8.2 Administrative Expenditure Limits

Administrative Expenditure Limits:

HCR will retain a portion of available funds to cover staff and non-personal service costs, not to exceed 7.5% of the allocation. Each subgrantee will be allowed to use up to 7.5% percent of their total WAP allocation for administrative costs.

No subgrantees are receiving less than 350,000 for the BIL program. The minimum award is 389,000.00 For those subgrantees below 400,000 they may use 15% of their total WAP allocation for their administrative costs.

V.8.3 Monitoring Activities

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Monitoring Activities:

HCR combines rigorous field monitoring with an extensive training and technical assistance program to identify areas to improve work quality and the delivery of program services as well as to correct subgrantee administrative and management problems. Field monitoring also provides an opportunity for on-site training and technical assistance and the identification of areas where more extensive training is needed.

A minimum of 5% of units completed by each subgrantee are inspected by HCR QA monitors. For subgrantees that use energy auditors to perform QCI inspections on buildings they have audited, HCR will comply with DOE minimum monitoring requirements and inspect at least 10% of completed units. When deficiencies are found at a subgrantee, a higher percentage of units may be inspected.

Staff closely monitors compliance with Program policies and procedures and in accordance with WPN 20-4. Fiscal Compliance unit staff (senior accountants) performs periodic on-site monitoring and desk audits, including reviews of financial statements, to assure compliance with all financial rules. Field Operations unit staff reviews subgrantee production status throughout the year, conducts visits to subgrantee offices to review files and visits assisted units to inspect in-progress and completed work. This information aids in early identification of subgrantee problems and ensures quality work and compliance with Program standards.

The field monitoring process consists of monthly reporting by subgrantees, on-site visits by program and fiscal staff to subgrantee offices and to assisted units, and desk audits, where subgrantee performance reports and other information is reviewed. At the end of the program year an annual evaluation of each subgrantee is conducted that reviews compliance with all program rules, energy audit procedures, crew operations, client interaction, data collection and reporting and fiscal compliance.

Subgrantees found to have deficiencies in program operations are required to prepare a corrective action plan for areas needing improvement. HCR has developed an automated monitoring process to more carefully track monitoring results. This process has improved HCR's annual monitoring function, and will provide data on subgrantee performance, work quality and compliance that HCR can use in future funding decisions, and to improve program effectiveness in general. For more information on HCR subgrantee monitoring processes, see Sections 2.17 – 2.20 of the PPM.

When HCR monitoring finds that a unit reported as complete was not properly inspected, current standards were not followed, or the unit otherwise contains deficiencies, the unit is not certified, which means that the subgrantee will not receive payment for the unit until the deficiency has been addressed. When a unit is not certified the HCR field representative notifies the subgrantee in a field visit report, documents the conditions that caused the unit to fail, and typically supports that finding with photographs that are included in the field visit report.

Since individual inspectors are employees or sub-contractors of the subgrantee, and HCR contracts with the subgrantee, not the individual, our written correspondence on these matters is directed to the responsible party at the subgrantee. It is the subgrantee's organizational responsibility to ensure that individuals perform in a manner that will result in compliance with HCR rules by the subgrantee. This is addressed in sections 2.17, 7.02 and 7.06 of the Policy and Procedures Manual; payment is only made for units that comply with all requirements.

Due to the hazards caused by the pandemic, WAP will seek means to minimize direct personal contact as much as possible while meeting the monitoring standards required by the Program. HCR will continue to implement changes in 2022 that will address social distancing protocols and may request permission from DOE to alter some of its monitoring practices if the need arises.

Fiscal Field Monitoring:

Fiscal monitors (HCR staff accountants) review subgrantee A-133 audits submitted on an annual basis. A management review letter is issued to the subgrantee following review of the audit.

Fiscal monitors complete their monitoring summaries based in part on the summary of their last visit/report. If there were findings on that last report, the follow-up will be part of their monitoring for the current report. If the prior findings remain uncorrected, that will be reported again on the current report. If the condition is sufficient to warrant further action, the agency may be placed on Fiscal Special Conditions, whereby monitoring becomes more frequent and where special Fiscal signoff may be needed for payments.

For deficiencies reported on an agency's annual evaluation, monitors review the corrective action plan and follow-up during the year as to how successfully it has been implemented. Failure to correct deficiencies may warrant increased training and technical assistance, increased levels of monitoring, or in the most severe cases a formal warning notice which may lead to termination.

Program Field Monitoring:

HCR Program Field Monitors typically perform on-site field visits to each subgrantee to assess subgrantee performance and inspect completed units between four and six times each year. A written report is generally issued to the subgrantee at the end of each visit, but in any case, no later than 30 days following the end of the visit. Where serious or repeated deficiencies are found, the frequency of monitoring may be increased. Each monitor possesses current EPA Renovate, Repair and Paint (RRP) lead paint certifications and NREL Quality Control Inspector certifications. Due to hazards caused by the pandemic, WAP will seek means to minimize direct personal contact as much as possible while continuing to meet the monitoring standards required by the Program.

Grantee staff assigned to monitoring are paid with both LIHEAP and DOE funding. Field staff, both Program and Fiscal, spend the majority of their time performing subgrantee monitoring (between 50 – 100%), with the balance of their time spent performing subgrantee-related training and technical assistance (0 – 50%), with administrative duties making up 25% or less of their duties. Field monitoring positions are paid with 50% DOE funds and 50% HEAP funds. Duties described as "admin" fall outside of traditional subgrantee monitoring, or providing training and technical assistance, and have their salaries divided equally between DOE and HEAP administrative funds. Three staff persons assigned to the Training and Technical Assistance unit are paid 100% with DOE Admin and T&TA funds.

V.8.4 Training and Technical Assistance Approach and Activities

Training and Technical Assistance:

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Looking forward, New York anticipates a faster rate of change within program regulatory environments, which will require an evolving skillset to match in the field. And New York WAP and BIL plans support optimism for a more robust and successful training environment. Travel restrictions have been lifted and New York plans a significantly increased State presence at both State and National level conferences. The State's innovative partnerships with City University of New York and other education entities are expected to greatly expand the State's WAP and Green workforces. CUNY participants will relieve some portion of the veteran agency staff workload, allowing more existing staff to attend more trainings. In addition to existing staff, those CUNY interns who eventually join an Agency's permanent staff will all require various trainings drawn from the full suite of BPI, DOE, and other WAP and WAP-related trainings, on an ongoing basis. We also anticipate newly developed & current training to be presented in a more robust and hands on approach which will require in-person training in buildings. These trainings can double as specific engineering consultations for WAP buildings entering, or already in, production. In terms of participant engagement and training retention, these types of trainings have been effective in the past and have often led to the discovery of additional training needs. Added costs for travel and remote presentation will be incurred.

Previously, New York transferred a large portion (75%) of their TTA budget into production during PY 2021 and is on track to significantly underspend TTA funding again in PY 2022. While the Covid Pandemic presented many lessons in program resiliency planning and streamlining that must be adopted for the future, and which may greatly benefit the WAP's future efficacy, Covid was also the primary disruptor of the past two Program Years for WAP in New York. Over the past two years, Weatherization agencies have been focused on completing all current contracts so they can focus forward for BIL/WAP 2023 and beyond. For those reasons training has been less of a focus at the Subgrantee level. We know that this will change after contracts are awarded for 2023 WAP and BIL because agency interest in trainings for new and current staff, for newer technologies, and for planning and administrative support is high.

For one example of Covid-related disruption, State rules prohibited or limited travel, both within and out of state for T&TA related purposes. One on one training opportunities in agency offices, as well as field training opportunities for groups, were both limited. Prohibited were in person classroom training sessions or conferences, replaced as much as possible by remote training and online conferences, the costs of which were lower than the anticipated in person attendance costs. For another example, agency production pressures and lean staffing caused by covid staff losses have sometimes made the decision to send staff to optional trainings difficult. In the dire early days of Covid in New York, some idle staff had to be temporarily laid off due to closure and outbreaks, and some did not return. Staff vacancies, sometimes in key positions, were too difficult to fill. And while substantial relief from the health threat of Covid came a year ago, the residual economic effects appear to be receding only now. That all combined to result in lower than anticipated NPS expenses.

HCR is under contract with two training and technical assistance providers to help administer its program requirements: The Association for Energy Affordability and the NYS Weatherization Directors' Association. Comprehensive training will be provided by IREC-accredited organizations that have extensive state-of-the-art training facilities that feature pressure diagnostic houses, heating labs, classroom space, and other resources.

Individual grantee staff independently track their continuing education units required for recertification via the BPI portal. HCR program field representatives review the status of subgrantee staff certification compliance during monitoring visits and will issue written findings to subgrantees that are not in compliance with certification requirements. See Sub Section 2.17 of the PPM for more information on HCR monitoring and field visits.

Required certifications and mandatory training are listed in Sub Section 2.14 of the PPM and communicated via program memo when necessary. Ongoing training is available through NYS WAP contracted technical service providers, who post training calendars on their websites and send out email notices to the WAP network regarding upcoming training.

When topics involve a change to existing WAP policy and procedures (e.g., air sealing standards, changes to audit protocols, etc.) or emphasize an important program area, (ASHRAE 62.2) subgrantee attendance may be mandatory. In this case, the subgrantee is required to assign the most appropriate person to attend.

If a sponsored training is regional in nature or is otherwise limited to a certain group of subgrantees, HCR will inform subgrantees if their attendance is required. If a subgrantee has any doubt regarding attendance, their HCR program field representative should be consulted.

The mandatory training sessions and the personnel required to take them are listed in the PPM, SS2.14. If a subgrantee hires a new employee into any of these positions or a current employee transfers into any of these positions, it is required that they receive the mandatory training within 12 months of their start date. Training must be repeated every 3 years by subgrantee personnel who occupy these positions, or for the length of time determined by the certification provider. Compliance with this program requirement will be monitored by field staff in their field visit reports. Any agencies that are not in compliance will be referred to the WAP T&TA unit (Form #47) to arrange for mandatory training for appropriate staff members.

Ramifications for non-compliance include: (a) critical program field visit report that would result in an agency having to provide a written action plan for compliance; (b) negative end of year agency evaluation; or (c) disallowing payment for units that were not inspected by a certified QCI. Any subgrantee or sub-contracted staff paid with weatherization funds must be supervised for any work activities until all training and certification requirements are met.

HCR also requires that subgrantee personnel in certain professional positions be certified by the Building Performance Institute (BPI). Subgrantees must ensure that any individual holding a staff position that requires certification must meet certification requirements no later than 18 months from the time they are assigned to the position. HCR does not require Subgrantees to make their hiring decisions based on program training or certification requirements.

HCR provides on-going training programs to keep subgrantees current in program requirements, including any that subgrantees need to comply with HCR's Health and Safety Plan. HCR requires subgrantees to comply with ASHRAE 62.2-2016 indoor air quality requirements and will ensure that staff and subgrantees receive training and other support throughout 2022 as requested or deemed needed, particularly in light of current conditions, including training on any changes to the ASHRAE 62.2 standard that may impact the program. HCR will continue to attempt to balance these requirements with the need to maximize energy savings in assisted units and provide recipients with sustainable installations that they will be able to maintain in future years.

HCR distributes a portion of its T&TA funds directly to the subgrantees for their use in the following activities: conference attendance, staff training, memberships and subscriptions, computer/electronic media training resources, data gathering and client education materials. Also, since 2014 HCR has provided customer education and training documents for subgrantees to utilize for the purposes of customer education. These are available on the HCR web

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site.

Training consists of the following activities:

Activity 1: All subgrantee crews, supervisors, energy auditors and other key staff are provided with classroom, web-based and individual training covering all aspects of the program. Areas such as rules, regulations, policies, procedures, reports, data entry, and forms will be covered. This activity will be aimed at meeting and maintaining State and Federal program, fiscal, and technical standards. HCR will provide this training and technical assistance through assigned staff.

Activity 2: This activity corresponds to DOE Comprehensive (formerly Tier 1) training. Training of a distinct nature that includes comprehensive, job-specific training which follows a curriculum aligned with the NREL Job Task Analyses (JTAs) for the major energy upgrade job classifications, including the required Quality Control Inspector title. This training will be provided by IREC-accredited training providers under a technical services contract, in accordance with all program requirements for Comprehensive (Tier 1) training. HCR will provide Comprehensive (Tier 1) training opportunities on an ongoing basis, becoming more varied as needs are assessed, curriculums are approved, and accreditations acquired. Training providers will be required to hold IREC accreditations in the following NREL worker certification tracks:

- Crew Leader
- Quality Control Inspector,
- Retrofit Installer
- Energy Auditor

Activity 3: HCR will also fund other training and technical support services, including peer-to-peer training activities, air monitoring of lead safe practices, energy savings analysis, and specialized training activities to address deficiencies found in field monitoring. This activity corresponds to DOE Specific (formerly Tier 2) training.

Other required or approved training will cover topics such as Health & Safety, using the TIPS, TREAT, or EA-QUIP software, creating-cost effective job work scopes, infrared thermography, heating system diagnostics, performing post inspections, managing crews and subcontractors, materials installation, air sealing, and pressure diagnostics. The goal of this training is also to introduce or significantly improve the knowledge and expertise needed to successfully operate local programs and provide quality weatherization services. These training sessions will be provided throughout the year.

Activity 4: HCR will distribute a portion of its T&TA funds directly to the subgrantees for their use in the following activities: conference attendance, staff training, memberships and subscriptions, computer/electronic media training resources, data gathering and client education materials.

Coordination of Monitoring and Technical Assistance

HCR utilizes field staff and technical service subgrantees as a quality assurance strategy. Field staff conducts an annual evaluation of each subgrantee's training needs that is used to develop the training curricula for the following year. HCR also has staff specifically assigned to provide specialized training in various administrative and support functions to both staff and subgrantees.

HCR has added the capability to capture per building type proposed energy savings data from each subgrantee in its database. This can now be utilized as an additional factor when developing a subgrantee training curricula.

Field staff visit subgrantees on a regular basis to monitor the progress of subgrantees on work required as part of their Program contract. During these monitoring visits, when staff observes areas where subgrantees need assistance, the individual staff member will provide the assistance needed or will arrange for other training as described in Activity 1 and Activity 3, above.

HCR has developed comprehensive written training curricula in several areas that have been used for the training of subgrantee staff on a regular basis. As the need arises for training in additional areas, curricula will be developed to insure a comprehensive and uniform approach to the subject matter. This includes required Lead Safe Worker Training, which is conducted by EPA-certified training contractors, and recurring H&S training, which now includes details on job site safety relative to COVID and other concerns. HCR has also funded a Clean Boilers Program which qualifies heating system contractors as eligible bidders and establishes a Master Bidders List for multi-family heating systems installed within the weatherization program.

The annual evaluation process described in Section V.6, above, is used to evaluate subgrantee effectiveness in several technical areas, and then HCR technical assistance and program operations staff reviews the results of the evaluations to identify underperforming subgrantees and recommend them for specific training or technical assistance to address the deficiencies.

Client education is primarily the responsibility of the subgrantee. HCR has developed a set of client educational materials to aid subgrantees in this effort. Those materials are on the HCR web site.

Some of the many new trainings offered will be :

- p.i Managing overlapping contracts with different payment schedules and criteria. (3 days/Maximum of 20 participants)
- To help Directors and Weatherization agency managers successfully coordinate BIL, WAP, SERC, EmPower, and other sometimes disparate funding streams.
- p.ii How to recruit, hire, train, and retain staff and grow business (2 day/Maximum of 20 participants) , repeat annually
- To teach Weatherization Directors and agency managers proven strategy for staffing up, training, and retaining talent.
- p.iii Advanced Load Calculations - using ACCA approved cooling and heating load formulas. Heat pump selection using the NEEP utility. (3 days/Maximum of 15 participants)

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To teach auditors and other design specialists proper use of load formulas and the NEEP online heat-pump sizing and selection utility.

p.iv Heat pump system design, whole house and zonal; central system, split systems. (3 days/maximum of 10 participants)

To teach auditors and other design specialists how to choose the proper system type and strategy for heat pump design.

p.v Multifamily building auditor building model training for TIPS25, Ea-Quip, and TREAT; including subparts fuel dataset validation, data collection, and modeling/truing up. Culminates in a complete and current Multifamily Weatherization Building Audit. (5 days/Maximum of 10 participants)

Takes a detailed look at all three of New York's multifamily audit tools, to teach auditors proper methods for detailing multifamily building models using the tool of their choice.

p.vi TIPS Small homes auditor training. Includes subparts: Envelope, fuel dataset validation/data collection, and modeling/truing up using NYS auditing software. (5 days/Maximum of 10 participants)

To teach auditors proper methods for detailing 1-4 unit building models using TIPS.

p.vii HCR Monitor training; Regular (monthly) online instructor-lead consistency checks for resolving differences in monitoring. (1/2 day/ all field staff (appx. 30 participants))

To increase consistency in program monitoring and documentation statewide.

p.viii HCR Monitor training; How to inspect new-tech system e.g. heat pumps, hrv/erv. (1 day/maximum 20 participants)

To prepare Field Reps for inspection work in our new and emerging technical environment as it develops.

p.ix HCR Monitor and QCI inspector training; how to critique ACCA approved cooling and heating load calculations and system design choices. (1 day/all reps appx. 30 participants)

To prepare Field Reps for inspection work in our new and emerging technical environment as it develops.

p.x Demonstrating fuel switch cost-effectiveness (1 day/maximum 20 participants)

How to prove the SIR, includes fuel/fuel energy value comparison.

cm.i Clean Boilers CM for WAP Staff (MF bldgs) (5 days/ maximum of 8-10 participants)

This training deals with all aspects of MF heating system replacement from sizing, selection, installation, contractor oversight, final control tuning, sign-off

cm.ii Basic construction management training for WAP Staff-- Includes contractor oversight and coordination with building tenants and management for access. (3 days/ maximum of 20 participants)

This training will deal with CM aspect of project management, including but not limited to understanding sub-contractor contract, start and end date, roles and responsibilities of each parties - including WAP subgrantee, contractor, owner, manager, building access, material storage, theft prevention, acceptable work hours, etc.

cm.iii Construction Management for Lighting (1 day/ maximum of 20 participants)

This training will deal with CM aspect of lighting project - Highlight will be coordination with tenants, storage of equipment, understanding of the lighting systems and controls and identifying common problem areas with installation quality

cm.iv Construction Management for Heat Pumps and Other Electrification Measures (1 day/ maximum of 10 participants)

This training will deal with CM aspect of heat pump and other electrification projects - Highlight will be coordination with tenants, storage of equipment, understanding and identifying common problem areas with installation quality

cm.v Heat loss and EDR calculation for heating system sizing (applies to both small homes and MF buildings) (1.5 days/ maximum of 10 participants)

This training will educate WAP staff on how to perform heat loss calculation for heating/cooling system and EDR calculation for steam boiler sizing.

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cm.vi Heating system component sizing, selection, and basic specifications - Hot water heating system (1 day/ maximum of 10 participants)

This training will deal with hot water heating system components such as air/hydraulic separator, circulating pump, expansion tank, check valves, etc.
Proper sizing of equipment to optimize operational efficiency of specified equipment.

cm.vii Master venting - What is it, how to calculate # of vents required, etc. (1 day/ maximum of 10 participants)

This training will deal with one pipe steam system master venting.
Optimize replacement system.

cm.viii Pre-assessment of bldg conditions for electrification readiness (1 day/ maximum of 10 participants)

This training will deal with what WAP staff needs to assess (electrical capacity, bldg. envelope, space, etc.)
For electrification readiness and to optimize replacement systems.

cm.ix Sizing and selection of central heat pump water heater (CHPWH) (issues such as elec capacity, location, space availability, delivery from street to final installation location) (2 days/ maximum of 10 participants)

This training will deal with how to size CHPWH, and other checklist items that we need to go over before finalizing selection and specifying a CHPWH This training will ensure optimized system and minimize project delays and call backs.

cm.x Specific equipment training 1 day/ maximum of 10 participants)

This training will be used to provide training on specific equipment/control including but not limited to: functionality of the equipment/control, proper installation, settings for optimization. This training will ensure optimized system and minimize project delays and call backs

cm.xi Building Specific on-site TA (by agency request) (1 day/ maximum of 10 participants) (20 instances as requested)

Combined technical assistance and training for a specific building or agency. Teaches technical aspects, specification, and construction management in building systems on an as-needed basis. This training will ensure optimized system and minimize project delays and call backs.

CM.xii Agency -specific training as recommended by field representative (1 day/ maximum of 10 participants)(20 instances as requested)

Combined technical assistance and training for a specific building or agency. Teaches technical aspects, specification, and construction management in building systems on an as-needed basis. This training will ensure optimized system and minimize project delays and call backs.

T.I NASCSP annual conference -- Travel and admission for 3-day conference, 20 persons.

T.II NYSCAA/NYSWDA conference -- Travel and admission for 3-day conference, 30 persons.

T.III ACEEE Energy Efficiency as a Resource conference -- Travel and admission for 3-day conference, 20 persons.

T.IV NASCSP annual winter conference -- Travel and admission for 3-day conference,

Percent of overall trainings

| | |
|--------------------------|------|
| Comprehensive Trainings: | 36.7 |
| Specific Trainings: | 63.3 |

Breakdown of T&TA training budget

| | |
|--|------|
| Percent of budget allocated to Auditor/QCI trainings: | 35.0 |
| Percent of budget allocated to Crew/Installer trainings: | 45.0 |
| Percent of budget allocated to Management/Financial trainings: | 20.0 |

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V.9 Energy Crisis and Disaster Plan

Energy Crisis and Disaster Relief:

In the event of a natural disaster during the program year, subgrantees that serve areas that have been designated as federal disaster areas will be required to prioritize service to buildings occupied by disaster victims. In some cases, subgrantees covering adjacent areas will be allowed to perform work in disaster areas, with the consent of the subgrantee that primarily serves that area. Work will be limited to allowable Program measures.